

Safety Attribute Inspection (SAI) Data Collection Tool
3.1.11 Computer Based Record Keeping System (OP)
Revision#:3 Revision Date:09/15/2009

ELEMENT SUMMARY INFORMATION

Scope of Element:

Purpose (operator's responsibility): To prepare and maintain the operator's records in an electronic format using a Computer Based Record Keeping System that is approved by the Administrator and meets the requirements of 14 CFR part 121.

Objective (FAA oversight responsibility): To determine if the operator's Computer Based Record Keeping System process:

- Meets all applicable requirements of Title 14 of the Code of the Federal Regulations (14 CFR) and FAA policies,
- Incorporates the safety attributes, and
- Identifies any shortfalls in the operator's Computer Based Record Keeping System process.

Specific Instructions:

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SUPPLEMENTAL INFORMATION

Regulatory Requirements:

A.025, Operations Specifications
119.43, Certificate holder's duty to maintain operations specifications.
121.1007, Purpose and definition
121.135, Manual contents
121.401, Training program: General.
121.683, Crewmember and dispatcher record.
121.695, Disposition of load manifest, dispatch release, and flight plans: Domestic and flag operations.
121.697, Disposition of load manifest, flight release, and flight plans: Supplemental operations.
121.711, Communication records: Domestic and flag operations.

Related CFRs & FAA Policy/Guidance:

Related CFRs:

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FAA Policy/Guidance:

FAA Order 8900.1, Volume 3, Chapter 18, Section 3
FAA Order 8900.1, Volume 3, Chapter 20, Section 1
FAA Order 8900.1, Volume 3, Chapter 28, Section 1
FAA Order 8900.1, Volume 3, Chapter 31, Section 1 thru 4
AC 120-28D, Pilot Records Improvement Act of 1996
AC 120-54A, Advanced Qualification Program

SAI SECTION 1 - PROCEDURES ATTRIBUTE

Objective:

The questions in this section of the SAI will help verify that the operator's documented procedures identify who, what, when, where, and how those procedures are accomplished. These procedures must allow all personnel to perform their duties and responsibilities with a high degree of safety.

14 CFR part 121.135(a)(1)

Tasks

	The inspector shall accomplish the following tasks:
1	Review the information in the Supplemental Information section of this SAI.
2	Review the duties and responsibilities for management and other personnel who accomplish the processes associated with this element.
3	Review the documentation of the processes associated with this element.

Questions

1.1	<p>Do the procedures require the operator to retain records for flight crew members for a period of 5 years in accordance with the Pilot Records Improvement Act (PRIA), 49 USC 44703 (h), (i) and (j)?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of proficiency checks for Pilots for 5 years. (JTI ID: 210) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996 2. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of Recurrent Flight Training for Pilots for 5 years. (JTI ID: 216) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996 3. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of Recurrent Ground Training for Pilots for 5 years. (JTI ID: 230) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996 4. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of Recurrent Emergency Ground Training (hands on and alternate drills) for Pilots for 5 years. (JTI ID: 240) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
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	<p>5. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of Line Checks for Pilots for 5 years for line checks required every 12 months. (JTI ID: 248) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996</p> <p>6. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of Special Qualifications (such as NOPAC, CEP, and MNPS) for Pilots for 5 years. (JTI ID: 250) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996</p> <p>7. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of Recency of Experience for Pilots for 5 years. (JTI ID: 252) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996</p> <p>8. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of Operating Experience (OE) for Pilots for at least 5 years. (JTI ID: 262) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996</p> <p>9. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains permanent records of FAA Observation of Operating Experience (OE) for Pilot In Command (PIC) for the duration of the individuals employment and for 5 years thereafter. (JTI ID: 266) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996</p> <p>10. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of Instructor and Check Airmen Initial Ground and Flight Training during the period of qualification for the current aircraft or for five years, whichever is greater. (JTI ID: 276) <i>Sources:</i> 121.135(b)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996</p> <p>11. Check that the Certificate Holder's manual system contains procedures that the Certificate Holder retains records of Physical or Professional Disqualification for Pilots for 5 years. (JTI ID: 306) <i>Sources:</i> 121.135(a)(1); 49 USC 44703(h), (i) and (j); FAA Order 8000.88 PRIA Guidance to FAA Inspectors; AC 120-28 Pilot Records Improvement Act of 1996</p>	
1.2	<p>Do procedures require the system to identify the certifying instructor, supervisor, or check airman?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.401(c) Kind Of Question: Flag, Supplemental, Domestic</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable</p>

Related Design JTIs:

1. Check that the Certificate Holder's manual system include instructions and information for each instructor who is responsible for a particular ground training subject, flight training segment, course of training, flight check or competency check under this part, specifies how he shall certify as to the proficiency and knowledge of the crewmember concerned upon completion of that training or check. (JTI ID: 6)
Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)
2. Check that the Certificate Holder's manual system has instructions and information for each supervisor who is responsible for a particular ground training subject, flight training segment, course of training, flight check or competency check under this part, specifies how he shall certify as to the proficiency and knowledge of the crewmember concerned upon completion of that training or check. (JTI ID: 14)
Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)
3. Check that the Certificate Holder's manual system has instructions and information for each check airman who is responsible for a particular ground training subject, flight training segment, course of training, flight check or competency check under this part, specifies how he shall certify as to the proficiency and knowledge of the crewmember concerned upon completion of that training or check. (JTI ID: 24)
Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)
4. Check that the Certificate Holder's manual system has instructions and information for each check airman who is responsible for a particular ground training subject, and particular course of training under this part, specifies how he shall certify as to the proficiency and knowledge of the aircraft dispatcher concerned upon completion of that training or check. (JTI ID: 34)
Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)
5. Check that the Certificate Holder's manual system has instructions and information for each check airman who is responsible for a particular ground training subject, flight training segment, course of training, flight check or competency check under this part, specifies how he shall certify as to the proficiency and knowledge of the flight instructor concerned upon completion of that training or check. (JTI ID: 38)
Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)
6. Check that the Certificate Holder's manual system has instructions and information for each check airman who is responsible for a particular ground training subject, flight training segment, course of training, flight check or competency check under this part, specifies how he shall certify as to the proficiency and knowledge of the check airman concerned upon completion of that training or check. (JTI ID: 48)
Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)
7. Check that the Certificate Holder's manual system has instructions and information for each instructor who is responsible for a particular ground training subject, course of training, and competency check under this part, specifies how he shall certify as to the proficiency and knowledge of the aircraft dispatcher concerned upon completion of that training or check. (JTI ID: 58)
Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)
8. Check that the Certificate Holder's manual system has instructions and information for each supervisor who is responsible for a particular ground training subject, course of training, and competency check under this part, specifies how he shall certify as to the proficiency and

	<p>knowledge of the aircraft dispatcher concerned upon completion of that training or check. (JTI ID: 64)</p> <p>Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)</p> <p>9. Check that the Certificate Holder's manual system has instructions and information for each instructor who is responsible for a particular ground training subject, course of training, and flight training under this part, specifies how he shall certify as to the proficiency and knowledge of the flight instructor concerned upon completion of that training or check. (JTI ID: 70)</p> <p>Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)</p> <p>10. Check that the Certificate Holder's manual system has instructions and information for each supervisor who is responsible for a particular ground training subject, course of training, and flight training under this part, specifies how he shall certify as to the proficiency and knowledge of the flight instructor concerned upon completion of that training or check. (JTI ID: 76)</p> <p>Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)</p> <p>11. Check that the Certificate Holder's manual system has instructions and information for each instructor who is responsible for a particular ground training subject, course of training, and flight training under this part, specifies how he shall certify as to the proficiency and knowledge of the check airman concerned upon completion of that training or check. (JTI ID: 82)</p> <p>Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)</p> <p>12. Check that the Certificate Holder's manual system has instructions and information for each supervisor who is responsible for a particular ground training subject, course of training, and flight training under this part, specifies how he shall certify as to the proficiency and knowledge of the check airman concerned upon completion of that training or check. (JTI ID: 88)</p> <p>Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)</p> <p>13. Check that the Certificate Holder's manual system has instructions and information specifying how the certification required by 121.401(c) shall be made a part of the crewmember's or dispatcher's record. (JTI ID: 94)</p> <p>Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)</p> <p>14. Check that the Certificate Holder's manual system has instructions and information that when the certification required by 121.401(c) is made by an entry in a computerized record keeping system, the certifying instructor, supervisor, or check airman must be identified with that entry. (JTI ID: 96)</p> <p>Sources: 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.401(c)</p>	
1.3	<p>Do the procedures specify that the records of each crewmember and aircraft dispatcher will include, but are not limited to:</p> <ul style="list-style-type: none"> • Proficiency and route checks, • Airplane and route qualifications, • Training, • Required physical examinations, and • Flight, duty, and rest time records? <p>Note(s): Aircraft dispatcher records are required only for domestic/flag operations.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.683(a)(1) Kind Of Question: Flag, Supplemental, Domestic</p>	
1.4	<p>Does the system maintain for at least six months the records of any flight crewmember or dispatcher released from employment or with a physical or professional disqualification?</p> <p>Note(s): <i>Aircraft dispatcher records are required only for domestic/flag operations.</i></p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.683(a)(2); 121.683(c) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.5	<p>Do procedures require operators who are conducting supplemental operations to maintain the records required by 14 CFR part 121.683(a) at a location approved by the Administrator?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.683(b); 121.683(c) Kind Of Question: Supplemental</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder conducting supplemental operations has instructions and information in their manual on how to maintain current records of each crewmember, at its principal base of operations, or at another location used by it and approved by the Administrator, that shows whether the crewmember complies with the applicable sections of this chapter including, but not limited to, proficiency checks, route checks, airplane and route qualifications, training, any required physical examinations, flight, duty and rest time records. (JTI ID: 136) <i>Sources:</i> 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.683(a)(1); 121.683(b) 2. For Certificate Holder's conducting supplemental operations, check that the Certificate Holder has instructions and information in their manual specifying how it shall maintain, at its principal base of operations or at another location used by it and approved by the Administrator, the records of each action taken concerning the release from employment or physical or professional disqualification of any flight crewmember. (JTI ID: 150) <i>Sources:</i> 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.683(a)(2); 121.683(b) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.6	<p>Do the procedures require the operator to maintain copies of the load manifest, dispatch release, and the flight plan for at least three months?</p> <p>Note(s): <i>Dispatch release records are required only for domestic/flag operations.</i></p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.695(b) Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	<ol style="list-style-type: none"> 1. Check that the Certificate Holder conducting supplemental operations has instructions and information in their manual on how to maintain current records of each crewmember, at its principal base of operations, or at another location used by it and approved by the Administrator, that shows whether the crewmember complies with the applicable sections of this chapter including, but not limited to, proficiency checks, route checks, airplane and route qualifications, training, any required physical examinations, flight, duty and rest time records. (JTI ID: 136) <i>Sources:</i> 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.683(a)(1); 121.683(b) 2. For Certificate Holder's conducting supplemental operations, check that the Certificate Holder has instructions and information in their manual specifying how it shall maintain, at its principal base of operations or at another location used by it and approved by the Administrator, the records of each action taken concerning the release from employment or physical or professional disqualification of any flight crewmember. (JTI ID: 150) <i>Sources:</i> 121.135(a)(1); 121.135(b)(2); 121.135(b)(26); 121.683(a)(2); 121.683(b) 	
1.7	<p>For supplemental operations, does the record keeping system contain procedures to :</p> <ul style="list-style-type: none"> • Maintain copies of the load manifest, flight release, airworthiness release, pilot route certification, and the flight plan for at least three months, • Identify the person having custody of the records required to be retained in accordance with 14 CFR part 121.697(d)? <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.697(a); 121.697(e)(1); 121.697(e)(2) Kind Of Question: Supplemental</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.8	<p>For domestic or flag operations, do record keeping procedures record and maintain each en route radio contact between the operator and its pilots for at least 30 days?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.711 Kind Of Question: Flag, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.9	<p>Was the FAA approval of the record keeping system available for review?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: A.025 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the Air Carrier Specified Location that the Certificate Holder has a record of FAA approval of their computer-based record keeping system in accordance with the Certificate Holder's design. (JTI ID: 513) <i>Sources:</i> 121.135(b)(1); 121.683(c) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.10	In the event of a merger or acquisition, were the approved procedures for the	<input type="checkbox"/> Yes

	<p>integration of records followed?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. During mergers or acquisitions, check at the Air Carrier Specified Location that major changes affecting system operation or capability of computer based record keeping were evaluated and approved by the FAA in accordance with the Certificate Holder's design. (JTI ID: 514) <i>Sources:</i> FAA Order 8900.1; Volume 3; Chapter 31; Section 1; Paragraph 3-2985(B) 2. During mergers or acquisitions, if existing record keeping programs are combined into a single system, check at the Air Carrier Specified Location that the transition procedures from the operator's existing system to the surviving system was approved by the FAA in accordance with the Certificate Holder's design. (JTI ID: 515) <i>Sources:</i> FAA Order 8900.1; Volume 3; Chapter 31; Section 1; Paragraph 3-2985(C) 3. During mergers or acquisitions, if existing record keeping programs are combined into a single system, check at the Air Carrier Specified Location that the time period for maintaining the two systems in parallel operation was determined by the FAA in accordance with the Certificate Holder's design. (JTI ID: 516) <i>Sources:</i> FAA Order 8900.1; Volume 3; Chapter 31; Section 1; Paragraph 3-2985(C) 4. During mergers or acquisitions, if existing record keeping programs are combined into a single system, check at the Air Carrier Specified Location that the surviving system has at least the same backup capability as the existing system in accordance with the Certificate Holder's design. (JTI ID: 517) <i>Sources:</i> FAA Order 8900.1; Volume 3; Chapter 31; Section 1; Paragraph 3-2985(C) 5. During mergers or acquisitions, if existing record keeping programs are combined into a single system, check at the Air Carrier Specified Location that the integration of the existing and surviving systems was accomplished by electronically combining the databases of the two systems or by other methods, and that the accuracy of the data is maintained in accordance with the Certificate Holder's design. (JTI ID: 518) <i>Sources:</i> FAA Order 8900.1; Volume 3; Chapter 31; Section 1; Paragraph 3-2985(C) 	<input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.11	<p>Do the procedures require the record keeping system that use an Advanced Qualification Program (AQP) to comply with the requirements of 14 CFR part 121.1007?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.1007 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.12	<p>Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 18, Section 3?</p> <p>Updated: Rev # 3 on 09/15/2009</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	<p>Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's manual system contains a policy that a full description of the computer-based record keeping system may be kept in the operator's General Operations Manual (GOM). It must be referenced appropriately in A025. (JTI ID: 178) <p>Sources: FAA Order 8900.1, Volume 3, Chapter 18, Section 3, Paragraph 3-737</p>	
1.13	<p>Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 20, Section 1?</p> <p>Updated: Rev # 3 on 09/15/2009</p> <p>Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records of the training and qualification for each air transportation ground instructor. (JTI ID: 179) <p>Sources: FAA Order 8900.1, Volume 3, Chapter 20, Section 1, Paragraph 3-1401(C)</p> <ol style="list-style-type: none"> 2. Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder retains records of the training and qualification for each air transportation ground instructor. (JTI ID: 180) <p>Sources: FAA Order 8900.1, Volume 3, Chapter 20, Section 1, Paragraph 3-1401(C)</p> <ol style="list-style-type: none"> 3. Check that the Certificate Holder's manual system contains a policy that the Certificate Holder shall make the training documentation for each air transportation ground instructor conveniently accessible for inspection by the FAA. (JTI ID: 181) <p>Sources: FAA Order 8900.1, Volume 3, Chapter 20, Section 1, Paragraph 3-1401(C)</p> <ol style="list-style-type: none"> 4. Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records of the training and qualification for each air transportation supervisor. (JTI ID: 185) <p>Sources: FAA Order 8900.1, Volume 3, Chapter 20, Section 1, Paragraph 3-1401(C)</p> <ol style="list-style-type: none"> 5. Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder retains records of the training and qualification for each air transportation supervisor. (JTI ID: 186) <p>Sources: FAA Order 8900.1, Volume 3, Chapter 20, Section 1, Paragraph 3-1401(C)</p> <ol style="list-style-type: none"> 6. Check that the Certificate Holder's manual system contains a policy that the Certificate Holder shall make the training documentation for each air transportation supervisor conveniently accessible for inspection by the FAA. (JTI ID: 187) <p>Sources: FAA Order 8900.1, Volume 3, Chapter 20, Section 1, Paragraph 3-1401(C)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.14	<p>Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 28, Section 1?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records that clearly show the flight times for each flight crewmember. (JTI ID: 191) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 28, Section 1, Paragraph 3-2268(A) 2. Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder retains records that clearly show the flight times for each flight crewmember. (JTI ID: 192) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 28, Section 1, Paragraph 3-2268(A) 3. Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records that clearly show the rest periods for each flight crewmember. (JTI ID: 193) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 28, Section 1, Paragraph 3-2268(A) 4. Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder retains records that clearly show the rest periods for each flight crewmember. (JTI ID: 194) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 28, Section 1, Paragraph 3-2268(A) 5. Check that the Certificate Holder's manual system contains a policy that during mergers or acquisitions, major changes affecting system operation or capability of computer based record keeping may require an in-depth evaluation and approval process by the FAA. (JTI ID: 195) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 1, Paragraph 3-2935(B) 	<input type="checkbox"/> Not Applicable
1.15	<p>Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 31, Section 2?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's manual system contains a policy that the FAA approved computer-based record keeping system has been authorized by Operations Specification (OpSpec) A025. (JTI ID: 200) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 2, Paragraph 3-3001 FAA Order 8900.1, Volume 3, Chapter 31, Section 2, Paragraph 3-3003 2. Check that the Certificate Holder's has a section in its general operations manual (GOM) that provides detailed instruction on the use of the computer based record keeping system authorized in OpSpec A025. (JTI ID: 201) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 2, Paragraph 3-3003 3. Check that the Certificate Holder's manual system contains a policy that it shall provide to the FAA (POI) the section of its general operations manual (GOM) that provides detailed instruction on the use of the 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	<p>computer based record keeping system authorized in OpSpec A025. (JTI ID: 202)</p> <p>Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 2, Paragraph 3-3003</p>	
1.16	<p>Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 31, Section 3?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. Check that the Certificate Holder's manual system contains a policy that the operator must maintain adequate historical data of crewmember and dispatcher records to enable the FAA to determine compliance with Title 14 of the Code of Federal Regulations (14 CFR). (JTI ID: 203) Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3031 2. Check that the Certificate Holder's manual system contains a policy that, for the duration of the individual's employment, it must retain permanent crewmember and dispatch records that document the successful completion of training or qualification events which are prerequisites for subsequent assignments. (JTI ID: 204) Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3032(a) 3. Check that the Certificate Holder's manual system has instructions and information specifying as to how the operator will retain, for the duration of the individual's employment, permanent crewmember and dispatch records that document the successful completion of training or qualification events which are prerequisites for subsequent assignments. (JTI ID: 205) Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3032(A) 4. Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records of crewmember and dispatcher documentation of training or qualification events that qualify individuals for their present assignments (i.e., Currency Records) until it is superseded by a record of similar training or qualification in order to show an individual's continuity of qualifications. (JTI ID: 206) Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3032(B) 5. Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder retains crewmember and dispatcher documentation of training or qualification events which qualify individuals for their present assignments (i.e., Currency Records) until it is superseded by a record of similar training or qualification in order to show an individual's continuity of qualifications. (JTI ID: 207) Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3032(B) 6. Check that the Certificate Holder's manual system contains a policy that the operator retains additional crewmember and dispatcher records as a condition of special operational authorizations. (JTI ID: 208) Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3032(D) 	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p> <p><input type="checkbox"/> Not Applicable</p>

7.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder retains additional crewmember and dispatcher records as a condition of special operational authorizations. (JTI ID: 209)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3032(D)</p>	
8.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Pilot in Command (PIC). (JTI ID: 214)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	
9.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Second in Command (SIC). (JTI ID: 215)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	
10.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Flight Engineer (FE). (JTI ID: 220)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	
11.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Flight Attendant. (JTI ID: 221)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	
12.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Aircraft Dispatcher. (JTI ID: 222)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	
13.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Navigators. (JTI ID: 223)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	
14.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Pilots. (JTI ID: 224)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	
15.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Flight Attendant Supervisor. (JTI ID: 225)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	

16.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Aircraft Dispatcher Supervisor. (JTI ID: 226)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	
17.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains records in accordance with Crewmember Training and Qualification Records Job Air (Table 3-117) for Designated Ground Instructor. (JTI ID: 227)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-117</p>	
18.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder retains training records in accordance with the Currency Periods Job Aid (Table 3-118). (JTI ID: 228)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Table 3-118</p>	
19.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder's record keeping system has the capability for entry of all required records in the categories of records for which the operator is seeking acceptance or approval. (JTI ID: 376)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3033</p>	
20.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's record keeping system has the capability for entry of all required records in the categories of records for which the operator is seeking acceptance or approval. (JTI ID: 377)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3033</p>	
21.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder's record keeping system has the capability for storage of all required records in the categories of records for which the operator is seeking acceptance or approval. (JTI ID: 378)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3033</p>	
22.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's record keeping system has the capability for storage of all required records in the categories of records for which the operator is seeking acceptance or approval. (JTI ID: 379)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3033</p>	
23.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder's record keeping system has the capability for retrieval of all required records in the categories of records for which the operator is seeking acceptance or approval. (JTI ID: 380)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3033</p>	
24.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's record keeping system has the capability for retrieval of all required records in the categories of records for which the operator is seeking acceptance or approval. (JTI ID: 381)</p>	

	<p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3033</p> <p>25. Check that the Certificate Holder's manual system contains a policy that the Certificate Holder's record keeping system has the capability for archiving of all required records in the categories of records for which the operator is seeking acceptance or approval. (JTI ID: 382)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3033</p> <p>26. Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's record keeping system has the capability for archiving of all required records in the categories of records for which the operator is seeking acceptance or approval. (JTI ID: 383)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 3, Paragraph 3-3033</p>	
1.17	<p>Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 31, Section 4?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <p>1. Check that the Certificate Holder's manual system contains a policy that ensures that the computer-based record keeping system provides a means of maintaining accurate crewmember and dispatch records required by 14 CFR. (JTI ID: 384)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)</p> <p>2. Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's computer-based record keeping system ensures that the system provides a means of maintaining accurate crewmember and dispatch records required by 14 CFR. (JTI ID: 385)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)</p> <p>3. Check that the Certificate Holder's manual system contains a policy that ensures that the computer-based record keeping system provides a means of maintaining timely crewmember and dispatch records required by 14 CFR. (JTI ID: 386)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)</p> <p>4. Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's computer-based record keeping system ensures that the system provides a means of maintaining timely crewmember and dispatch records required by 14 CFR. (JTI ID: 387)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)</p> <p>5. Check that the Certificate Holder's manual system contains a policy that ensures that the computer-based record keeping system provides a means of maintaining reliable crewmember and dispatch records required by 14 CFR. (JTI ID: 388)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4,</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p> <p><input type="checkbox"/> Not Applicable</p>

	Paragraph 3-3053(A)	
6.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's computer-based record keeping system ensures that the system provides a means of maintaining reliable crewmember and dispatch records required by 14 CFR. (JTI ID: 389)</p> <p>Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)</p>	
7.	<p>Check that the Certificate Holder's manual system contains a policy that they must apply for approval of computer-based record keeping systems by letter. (JTI ID: 390)</p> <p>Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)(1)</p>	
8.	<p>Check that the Certificate Holder's manual system contains a policy that they must submit a letter of application for approval of computer-based record keeping system, which must contain a general description of the proposed computer-based record keeping system (including the facilities, hardware, and software to be utilized), the data backup system to be used, access and security procedures for both the operator and FAA personnel, basic procedures for data entry personnel, a general description of any special procedures and capabilities and digital or electronic signature type(s) and processes to be used. (JTI ID: 391)</p> <p>Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)(1)(a)</p>	
9.	<p>Check that the Certificate Holder's manual system contains a policy that they must submit a letter of application for a computer-based record keeping system must include one or more of the following categories of records to be maintained by that system: Airman training records (including pilot, flight engineer, flight navigator, flight attendant, flight instructor, check airman, and aircraft dispatcher training records) Aircraft qualification records (including aircraft type ratings, proficiency checks, competency checks, and line checks) Flight time limitation and rest requirement records Medical qualification records (when applicable) Route, "special airport," and area qualification records Operating experience (OE) and/or operating familiarization records Pilot recency of experience records Check airman, aircrew program designee (APD), and school designated examiner (SDE) designations or authorizations Special training or testing requirements Aircraft listings Load manifests, dispatch/flight releases Communication records Manual system and revisions (JTI ID: 392)</p> <p>Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)(1)(b)</p>	
10.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder's record keeping system retains data entry forms or other pertinent nonelectronic records in a parallel record system. (JTI ID: 393)</p> <p>Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)(2)</p>	
11.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's record keeping system has data entry forms or other pertinent nonelectronic records in a parallel record system. (JTI ID: 394)</p> <p>Sources: FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)(2)</p>	
12.	Check that the Certificate Holder's manual system contains a policy that	

	<p>the Certificate Holder's record keeping system retains required records while the computer-based record keeping system is being installed, tested, and evaluated. (JTI ID: 395)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)(2)</p>	
13.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's record keeping system has all required records while the computer-based record keeping system is being installed, tested, and evaluated. (JTI ID: 396)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)(2)</p>	
14.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder shall continue to maintain all required records while the data entry personnel are being trained to recognize regulatory terminology and requirements. (JTI ID: 397)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)(2)</p>	
15.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder's record keeping system has all required records while the data entry personnel are being trained to recognize regulatory terminology and requirements. (JTI ID: 398)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(A)(2)</p>	
16.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder will provide to the FAA (POI) for evaluation, the computer-based record keeping system capabilities and level of security. (JTI ID: 399)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>	
17.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder will provide to the FAA (POI) for evaluation, the operator's proposed computerized record keeping transition plan. (JTI ID: 400)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>	
18.	<p>Check that the Certificate Holder's manual system contains a policy that the Operator will provide to the FAA (POI) for evaluation, the operator's proposed computerized record keeping user manual. (JTI ID: 401)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>	
19.	<p>Check that the Certificate Holder's manual system contains a policy that the Certificate Holder will demonstrate to the FAA (POI) for evaluation, the operation of the operator's existing record keeping system in parallel operation with the proposed computer-based system. (JTI ID: 402)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>	
20.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will demonstrate to the FAA (POI) for evaluation, the operation of the operator's existing record keeping system in parallel operation with the proposed computer-based system. (JTI ID: 403)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>	

21.	<p>Check that the Certificate Holder's manual system contains a policy that the Operator will demonstrate to the FAA (POI) for evaluation, that the system security of the proposed computer-based record keeping system is adequate. (JTI ID: 404)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>
22.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will demonstrate to the FAA (POI) for evaluation, that the system security of the proposed computer-based record keeping system is adequate. (JTI ID: 405)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>
23.	<p>Check that the Certificate Holder's manual system contains a policy that the Operator will demonstrate to the FAA (POI) for evaluation, that the record retention periods of the proposed computer-based record keeping system are adequate. (JTI ID: 406)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>
24.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will demonstrate to the FAA (POI) for evaluation, that the record retention periods of the proposed computer-based record keeping system are adequate. (JTI ID: 407)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>
25.	<p>Check that the Certificate Holder's manual system contains a policy that the Operator will demonstrate to the FAA (POI) for evaluation, that the data backups of the proposed computer-based record keeping system are adequate. (JTI ID: 408)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>
26.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will demonstrate to the FAA (POI) for evaluation, that the data backups of the proposed computer-based record keeping system are adequate. (JTI ID: 409)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(1)</p>
27.	<p>Check that the Certificate Holder's manual system contains a policy that the Operator will demonstrate to the FAA (POI) for evaluation, that the proposed computer-based record keeping system's level of security ensures that the database is adequately protected. (JTI ID: 410)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)</p>
28.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will demonstrate to the FAA (POI) for evaluation, that the proposed computer-based record keeping system's level of security ensures that the database is adequately protected. (JTI ID: 411)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)</p>
29.	<p>Check that the Certificate Holder's manual system contains a policy that during the approval process the operator shall coordinate with the FAA (POI) concerning which FAA personnel will have access to the operator's record keeping system. (JTI ID: 412)</p>

	<p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(a)</p>	
30.	<p>Check that the Certificate Holder's manual system contains a policy that the Operator will designate in their proposal and user manual a specifically identified and authorized representative to actively monitor user access. (JTI ID: 413)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(b)</p>	
31.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will designate in their proposal and user manual a specifically identified and authorized representative to actively monitor user access. (JTI ID: 414)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(b)</p>	
32.	<p>Check that the Certificate Holder's manual system contains a policy that the Operator will designate in their proposal and user manual a specifically identified and authorized representative to periodically review access control requirements. (JTI ID: 415)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(b)</p>	
33.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will designate in their proposal and user manual a specifically identified and authorized representative to periodically review access control requirements. (JTI ID: 416)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(b)</p>	
34.	<p>Check that the Certificate Holder's manual system contains a policy that the operator should establish a procedure for computer-based record keeping systems, allowing designated personnel to electronically certify all record entries for which they are responsible (i.e. flight instructors/check airmen, aircraft dispatcher supervisors, and flight attendant supervisors). (JTI ID: 417)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(c)(2)</p>	
35.	<p>Check that the Certificate Holder's manual system has procedures for computer-based record keeping systems, allowing designated personnel to electronically certify all record entries for which they are responsible (i.e. flight instructors/check airmen, aircraft dispatcher supervisors, and flight attendant supervisors). (JTI ID: 418)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(c)(2)</p>	
36.	<p>Check that the Certificate Holder's manual system contains a policy that the operator shall issue to each designated person with authorization to electronically certify entries in a computer-based record keeping system, a unique individual access code and password in order to validate the entry. (JTI ID: 419)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(c)(2)</p>	
37.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will issue to each designated person with authorization to electronically certify entries in a computer-based record keeping system, a unique individual access code and password in order to validate the entry. (JTI ID: 420)</p>	

	<p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(c)(2)</p>	
38.	<p>Check that the Certificate Holder's manual system contains a policy that the operator who elects to use digital signature technology will need to provide verification of an agreement by which it will implement the use of digital electronic signatures. (JTI ID: 421)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(c)(1)</p>	
39.	<p>If electing to use a computer record keeping system for the electronic designation of APD's, check that the Certificate Holder's manual system contains a policy that the operator shall provide the POI or a designated representative the appropriate level of access to allow necessary data entries. (JTI ID: 422)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(d)</p>	
40.	<p>If electing to use a computer record keeping system for the electronic designation of check airmen, the operator shall provide the POI or a designated representative the appropriate level of access to allow necessary data entries. (JTI ID: 423)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(c)(2)</p>	
41.	<p>Check that the Certificate Holder's manual system contains a policy that any document/information in an electronic format must remain accessible to all persons who are entitled to access by statute, regulation, or rule of law, for the period required by such statute, regulation, or rule of law, in a form that is capable of being accurately reproduced for later reference, whether by transmission, printing, or otherwise. (JTI ID: 424)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(d)</p>	
42.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will provide any document/information that is in an electronic format to all persons who are entitled to access by statute, regulation, or rule of law, for the period required by such statute, regulation, or rule of law, in a form that is capable of being accurately reproduced for later reference, whether by transmission, printing, or otherwise. (JTI ID: 425)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(2)(d)</p>	
43.	<p>Check that the Certificate Holder's manual system contains a policy that the operator shall demonstrate to the FAA (POI) that they have an established backup capability to generate a complete set of duplicate records, either electronic or nonelectronic of the computer-based record keeping system. (JTI ID: 426)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(3)</p>	
44.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will demonstrate to the FAA (POI) that they have an established backup capability to generate a complete set of duplicate records, either electronic or nonelectronic of the computer-based record keeping system. (JTI ID: 427)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(3)</p>	
45.	<p>Check that the Certificate Holder's manual system contains a policy that</p>	

	<p>the operator shall store the duplicate records in a location separate from the main information storage facility. (JTI ID: 428)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(3)</p>	
46.	<p>Check that the Certificate Holder's manual system contains a policy that the operator shall back up data as frequently as appropriate to the operator's level of operations and system complexity. (JTI ID: 429)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(3)</p>	
47.	<p>Check that the Certificate Holder's manual system has instructions and information specifying how the Certificate Holder will back up data as frequently as appropriate to the operator's level of operations and system complexity. (JTI ID: 430)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(3)</p>	
48.	<p>Check that the Certificate Holder's manual system contains a policy that the operator shall develop a working procedures manual for day-to-day guidance and training for the operator's employees that must include guidance in the automated record keeping system structure. (JTI ID: 431)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
49.	<p>Check that the Certificate Holder's manual system has procedures for day-to-day guidance and training for the operator's employees that must include guidance in the automated record keeping system structure. (JTI ID: 432)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
50.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual for day-to-day guidance and training for the operator's employees must include guidance in the automated record keeping instructions for using computer commands for such operations as data entry. (JTI ID: 433)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
51.	<p>Check that the Certificate Holder's manual system has procedures for day-to-day guidance and training for the operator's employees must include guidance in the automated record keeping instructions for using computer commands for such operations as data entry. (JTI ID: 434)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
52.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual for day-to-day guidance and training for the operator's employees must include guidance in the automated record keeping instructions for using computer commands for such operations as data processing. (JTI ID: 435)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
53.	<p>Check that the Certificate Holder's manual system has procedures for day-to-day guidance and training for the operator's employees must include guidance in the automated record keeping instructions for using computer commands for such operations as data processing. (JTI ID: 436)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4,</p>	

	Paragraph 3-3053(B)(4)	
54.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual for day-to-day guidance and training for the operator's employees must include guidance in the automated record keeping instructions for using computer commands for such operations as data retrieval. (JTI ID: 437)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
55.	<p>Check that the Certificate Holder's manual system has procedures for day-to-day guidance and training for the operator's employees must include guidance in the automated record keeping instructions for using computer commands for such operations as data retrieval. (JTI ID: 438)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
56.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual for day-to-day guidance and training for the operator's employees must include guidance in the automated record keeping instructions for using computer commands for such operations as report generation. (JTI ID: 439)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
57.	<p>Check that the Certificate Holder's manual system has procedures for day-to-day guidance and training for the operator's employees must include guidance in the automated record keeping instructions for using computer commands for such operations as report generation. (JTI ID: 440)</p> <p><i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 31, Sec 4, Para 3-3053 B 4</p>	
58.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual should address system security procedures including identification of personnel charged with various levels of data entry. (JTI ID: 441)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
59.	<p>Check that the Certificate Holder's manual system has system security procedures including identification of personnel charged with various levels of data entry. (JTI ID: 442)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
60.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual should address system security procedures including identification of personnel charged with various levels of data verification and correction. (JTI ID: 443)</p> <p><i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 31, Sec 4, Para 3-3053 B 4</p>	
61.	<p>Check that the Certificate Holder's manual system has system security procedures including identification of personnel charged with various levels of data verification and correction. (JTI ID: 444)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
62.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual should address system security procedures including identification of personnel charged with various levels of data audits. (JTI ID: 445)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4,</p>	

	Paragraph 3-3053(B)(4)	
63.	<p>Check that the Certificate Holder's manual system has system security procedures including identification of personnel charged with various levels of data audits. (JTI ID: 446)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
64.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual should address system security procedures including identification of personnel charged with various levels of quality control. (JTI ID: 447)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
65.	<p>Check that the Certificate Holder's manual system has system security procedures including identification of personnel charged with various levels of quality control. (JTI ID: 448)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
66.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual should address system security responsibilities including identification of personnel charged with various levels of data entry. (JTI ID: 449)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
67.	<p>Check that the Certificate Holder's manual system has system security responsibilities including identification of personnel charged with various levels of data entry. (JTI ID: 450)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
68.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual should address system security responsibilities including identification of personnel charged with various levels of data verification and correction. (JTI ID: 451)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
69.	<p>Check that the Certificate Holder's manual system has system security responsibilities including identification of personnel charged with various levels of data verification and correction. (JTI ID: 452)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
70.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual should address system security responsibilities including identification of personnel charged with various levels of data audits. (JTI ID: 453)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
71.	<p>Check that the Certificate Holder's manual system has system security responsibilities including identification of personnel charged with various levels of data audits. (JTI ID: 454)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p>	
72.	<p>Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual should address system security responsibilities including identification of personnel charged</p>	

	<p>with various levels of quality control. (JTI ID: 455) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p> <p>73. Check that the Certificate Holder's manual system has system security responsibilities including identification of personnel charged with various levels of quality control. (JTI ID: 456) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p> <p>74. Check that the Certificate Holder's manual system contains a policy that the operator's working procedures manual should identify individuals with the authority to issue user access codes and passwords. (JTI ID: 457) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(4)</p> <p>75. Check that the Certificate Holder's manual system contains a policy that the operator shall demonstrate to the FAA (POI) that the computer-based record keeping programs contain audit procedures that are adequate to assure the accuracy of the database. (JTI ID: 458) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(5)</p> <p>76. Check that the Certificate Holder's computer-based record keeping programs contain audit procedures that are adequate to assure the accuracy of the database. (JTI ID: 459) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 4, Paragraph 3-3053(B)(5)</p>	
1.18	<p>Do procedures address the intent of the guidance contained in Advisory Circular AC 120-28D?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.19	<p>Do procedures address the intent of the guidance contained in Advisory Circular AC 120-54A?</p> <p>Note(s): <i>The recordkeeping process in AQP does not differ from traditional recordkeeping requirements.</i></p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.20	<p>Does the manual include a requirement to comply with the Operations Specifications related to this element including clearly identified excerpts, references, mandatory compliance requirements, or other information that will keep employees informed of the impact on their duties and responsibilities?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 119.43(b); 119.43(c); 121.135(a)(4) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.21	<p>Does the manual contain policies and procedures that include the duties and responsibilities for personnel involved with this element?</p> <p>Note(s):</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p><i>This includes personnel, in addition to those required by 14 CFR part 119, who have authority and responsibility for processes covered by this element.</i></p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.135(b)(2) Kind Of Question: Flag, Supplemental, Domestic</p>	
1.22	<p>Does the manual refer to the appropriate sections of 14 CFR, and are the procedures consistent with the appropriate 14 CFR references or Operating Certificate concerning this element?</p> <p>Note(s): <i>Procedures for Flag and Supplemental operations must be consistent with applicable foreign regulations as well.</i></p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.135(a)(4); 121.135(b)(3) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.23	<p>Does the manual contain general policies that require compliance with the SRRs?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.135(b)(1) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 1 - PROCEDURES ATTRIBUTE	
Drop-Down Menu	
1.	No policy, procedures, instructions, or information specified.
2.	Procedures or instructions and information do not identify who, what, when, where, how.
3.	Policy, procedures, or instructions and information do not comply with CFR.
4.	Policy, procedures, or instructions and information do not comply with FAA policy and guidance.
5.	Policy, procedures, or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen Charts, etc.).
6.	Policy, procedures, or instructions and information unclear or incomplete.
7.	Documentation quality (e.g., unreadable or illegible).
8.	Policy, procedures, or instructions and information inconsistent across certificate holder manuals (FOM - Flight Operations Manual to GMM - General Maintenance Manual, etc.).
9.	Policy, procedures, or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).
10.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
11.	Other.

SAI SECTION 2 - CONTROLS ATTRIBUTE	
Objective: The questions in this section of the SAI will help determine if controls (i.e. checks and restraints) are designed into the processes associated with this element to ensure policies and procedures are followed to achieve desired results.	
Tasks The inspector shall accomplish the following tasks:	
1	Review the policies, procedures, instructions, and information to understand the controls associated with this element.

Questions		
2.1	Are controls in place to ensure that the crewmember and dispatcher records accurately contain the following required information: <ul style="list-style-type: none"> • Proficiency and route checks, • Airplane and route qualification, • Training, • Required physical examinations, • Flight, duty, and rest time? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.2	Are controls in place to ensure that an operator conducting domestic and/or flag operations retains the required flight records for load manifest, dispatch release, and flight plan for at least three months? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.3	Are controls in place to ensure that the operator conducting supplemental operations retains the required flight records for load manifest, flight release, airworthiness release, pilot route certification, and flight plan for at least three months? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Supplemental	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.4	Are controls in place to ensure that the operator conducting domestic and/or flag operations retains accurate records of enroute radio contact between the operator and its pilots for at least 30 days? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5	Are controls in place to ensure that the computer based record keeping system provides computer virus protection? Updated: Rev # 3 on 09/15/2009	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	Kind Of Question: Flag, Supplemental, Domestic	
2.6	<p>Are controls in place to ensure that the operator frequently backs up computerized records at an off-sight storage location?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.7	<p>Are controls in place to ensure that an instructor, supervisor, or check airman appropriately certifies the record of a person's proficiency or knowledge for a training segment or check for which that person is responsible?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8	<p>Are controls in place to ensure that the operator does not allow unauthorized entries or changes to records?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.9	<p>Are controls in place to ensure that archived records can be retrieved in a timely manner?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.10	<p>Are controls in place to ensure that records are retained for at least six months for each action taken concerning the release from employment or physical or professional disqualification of any dispatcher (domestic and flag only) or flight crewmember?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.11	<p>Are controls in place to ensure that the operator follows its procedures for releasing requested information on crewmembers that are no longer employed?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.12	<p>Are controls in place to ensure that the record of FAA approval for the record keeping system is available for review?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.13	<p>Are controls in place to ensure that the operator with an AQP follows its approved record keeping procedures?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.14	<p>Are controls in place to ensure that the operator follows its approved procedures for the integration of records in the event of a merger or acquisition?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

2.15	Are controls in place to ensure that the operator follows its approved procedures as authorized in operations specifications A025? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.16	Are controls in place to ensure that the computer based record keeping system has adequate storage capacity for all required records? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.17	Are controls in place to ensure that there is adequate employee guidance for using the computer based record keeping system? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.18	Are controls in place to ensure that the FAA is provided the computer based record keeping system's capabilities and level of security? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 2 - CONTROLS ATTRIBUTE**Drop-Down Menu**

1.	No controls specified.
2.	Documentation for the controls do not identify who, what, when, where, how.
3.	Controls incomplete.
4.	Controls could be circumvented.
5.	Controls could be unenforceable.
6.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE

Objective:

Process measurements ensure the operator uses an internal evaluation function to detect, identify, and eliminate or control hazards and the associated risk. For airworthiness elements this is a required function of operator's Continuing Analysis and Surveillance System (CASS), required by 14 CFR part 121.373. The director of safety and the quality assurance department often work together to accomplish this function for the operator. Negative findings could require amendments to the safety/internal evaluation program or CASS audit forms or checklists.

Tasks

	The inspector shall accomplish the following tasks:
1	Review the control questions in Section 2 of this SAI.
2	Review the operator's policies, procedures, instructions, and information to gain an understanding of the process measurements accomplished for this element.

Questions

3.1	<p>Are there process measurements that evaluate whether the operator's policies, procedures, and controls are achieving the desired results?</p> <p>Note(s): <i>Inspectors should refer to the controls in section 2 of this SAI for possible process measurements for this element.</i></p> <p><i>Persons engaged in this process should have a method for identifying undesired results.</i></p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2	<p>Do the operator's process measurements assess the performance of the processes associated with this element?</p> <p>Note(s): <i>Verify audits exist to measure this elements performance.</i></p> <p><i>Verify audits are scheduled for this element.</i></p> <p><i>Verify audits ensure everyone, including all outsource providers; comply with the operator's program, manual and all applicable regulations and statutes.</i></p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3	<p>Does the operator's program require the documentation of process measurement results?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.4	<p>Does the operator's program describe how the process measurement results are used to improve the ability to achieve the desired results?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	
3.5	Does the organization that conducts the process measurements have direct access to the person with responsibility for this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE Drop-Down Menu	
1.	No process measurements specified.
2.	Documentation for the process measurements does not identify (who, what, when, where, how).
3.	Inability to identify negative findings.
4.	No provisions for implementing corrective actions.
5.	Ineffective follow-up to determine effectiveness of corrective actions.
6.	Resources requirements (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 4 - INTERFACES ATTRIBUTE

Objective:

Data collected in this section helps determine if the operator manages the interfaces (i.e. interactions) associated with this element. Interfaces occur in a procedure where the responsibility for accomplishing work is transferred from one person, work group, or organization to another. Procedures must be detailed enough to ensure the smooth transfer of work and information.

Tasks

	The inspector shall accomplish the following task:
1	Review interfaces associated with the processes for this element.

Questions

4.1	Where interfaces exist in this element, are the procedures written in enough detail to preclude a breakdown or discontinuity in the activity? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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SAI SECTION 4 - INTERFACES ATTRIBUTE

Drop-Down Menu

1.	No interfaces specified.
2.	The following interfaces not identified within the certificate holder's manual system:
3.	Interfaces listed are inaccurate.
4.	Specific location of interfaces not identified within the manual system.
5.	Other

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE	
Objective: Data from questions in this section will help the determine if there is an identifiable, qualified (when required by CFR), and knowledgeable person who is: <ul style="list-style-type: none"> • Responsible for the process, • Answerable for the quality of the process, and • Has the authority to establish and modify the process. 	
Tasks	
	The inspector shall accomplish the following tasks:
1	Identify the person(s) who has overall responsibility for this element.
2	Identify the person(s) who has the authority to revise the procedures associated with this element.
3	Review the duties and responsibilities of the above person(s).
4	Review the appropriate organizational chart.

Questions		
5.1	Is an individual(s) identified who is responsible for the quality of the procedures associated with this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.2	Is an individual(s) identified who has the authority to establish and modify the policies, procedures, instructions, and information associated with this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.3	Are duties and responsibilities documented for those who manage the procedures associated with this element? Updated: Rev # 3 on 09/15/2009 SRRs: 121.135(b)(2) Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.4	Does the operator document the procedures for delegation of authority for this element? Updated: Rev # 3 on 09/15/2009 SRRs: 121.135(a)(1) Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE Drop-Down Menu	
1.	Not documented.

2.	Documentation unclear.
3.	Documentation incomplete.
4.	Other.